CHAPTER 133. EVALUATE/INSPECT A PART 125, 129, AND 135 AIR OPERATOR'S OUTSOURCE MAINTENANCE PROVIDERS FACILITY

SECTION 1. BACKGROUND

1. PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance:

- *Facility Evaluation:* 3338
- *Facility Surveillance:* 3624, 3617

B. Avionics:

- *Facility Evaluation: 5*338
- *Facility Surveillance:* 5624, 5617

3. OBJECTIVE. This chapter provides the guidance and instruction for an evaluation and inspection of a Title 14 of the Code of Federal Regulations (14 CFR) parts 125, 129, and 135 air operators outsource maintenance providers (OMP) facility.

NOTE: This chapter is not intended to provide guidance for evaluating a certified repair station for compliance with 14 CFR part 145.

5. GENERAL.

A. OMP Facility Evaluation. This guidance is designed to aid an ASI in determining if adequate housing, equipment, spare part, technical data, and competent personnel have been trained and are available. The facility must be able to perform all the related maintenance and alterations in accordance with (IAW) the air operator's Continuous Airworthiness Maintenance Program (CAMP) and its maintenance manual. This evaluation should be accomplished:

- Prior to certificating a new air operator
- When an existing air operator introduces a new make and model aircraft into its operation

B. Some OMP inspections are conducted outside the geographic boundaries of the certificate-holding district office (CHDO). In such cases, the principal inspector (PI) or aviation safety inspector (ASI) should contact the OMP's CHDO/PI, and coordinate the visit. The PI of the air operator should preplan the depth of the inspection beforehand, and if the PI determines assistance is needed, a request should be made through the manager to the CHDO manager responsible for the certificate management of a repair station.

7. INITIATIONS AND PLANNING.

A Pre-Inspection Responsibilities. Before inspecting an outsource maintenance providers facility, the inspecting ASI should:

(1) If you are the principal maintenance inspector (PMI) or principal avionics inspector (PAI), this is a good time to review the Safety Performance Analysis System (SPAS) repair station analytical model (RSAM). This tool will provide the inspecting ASI with analysis and information that will be useful before and during the inspection.

(2) After reviewing the RSAM, a meeting should be scheduled with the air operator's management to discuss the arrangements made with this outsourcing maintenance provider. It is also a good time to discuss the plans and provisions that will be in place during the evaluation/inspection.

(3) Contract maintenance agreements change routinely. Ensure the agreements stated in the contract are in accordance with the procedures in the air operator's manual (CAMP).

(4) If you are a geographical inspector conducting the inspection on behalf of the certificate management office (CMO)/CHDO, you should contact one of the air operator's PIs to discuss the scope of the inspection.

(5) If you are a PMI or PAI, consider reviewing the contract between the operator and the outsource provider, if applicable.

B. Obtain List of Management Personnel. Before the inspection, the ASI should request a listing (including telephone numbers) of management personnel at the outsource facility. If the facility is a certificated repair station, the ASI may attain a listing of management personnel from SPAS (see profile).

C. Coordination. If the outsource maintenance provider is the holder of a part 145 repair station certificate, the ASI inspector should make every effort to contact the PI assigned to the repair station and advise the PI of the planned inspection.

D. Inspections Outside the United States. During the early planning phase of the trip, the inspecting ASI should contact the U.S. Department of State. The Web site is http://www.travel.state.gov. The ASI may review any travel advisories that may exist for the country that will be visited. Restrictions must be addressed and visas must be attained prior to departure. A minimum of 30 days is recommended. ASIs should process their travel plans in accordance with their region's polices, normally through the regional operations center.

NOTE: Travel to any foreign country requires a security briefing per the guidance found in Federal Aviation Administration (FAA) Order 1600.61, Foreign Travel Briefing and Contact Reporting Requirements for FAA and Contractor Employees.

E. If Outsource Maintenance Provider Facility is Located Outside the United States with a Bilateral Aviation Safety Agreement (BASA)-Maintenance Implementation Procedure (MIP) Approval. During the planning phase of your visit to a repair station/outsource maintenance provider that is located in a country that has a BASA with an associated MIP with the United States, it is most important that before your visit, contact is made with the International Field Office (IFO) and the repair station's PI. The inspecting ASI and the repair station PI should discuss the scope and intent of the inspection. An invitation may be extended to the National Aviation Authority (NAA) to accompany the inspecting ASI or inspecting team during the visit.

F. Outsource Maintenance Facility Located Outside the United States in a Country that Does Not Have a BASA-MIP Approval. Before your visit, it is most important that contact is made with the IFO and the repair station's PI so the inspecting ASI and the repair station PI can discuss the scope and intent of the inspection. An invitation may be extended to the NAA to accompany the inspecting ASI or inspecting team during the visit.

G. Transport Canada (TC) - Approved Maintenance Organization (AMO) Visit. It is most important that during the planning phase of the inspection, the inspecting ASI notify the Canadian liaison in one of the applicable CHDO. The notification should be by "e-mail" to the international field unit (IFU) with geographic responsibility for Canadian AMOs and facilities as follows:

(1) Anchorage FSDO w/ responsibility for areas North of longitude 52° N. and West of latitude 100°W.

(2) Seattle FSDO, Liaison. w/ responsibility for areas South of longitude 52°N and West of latitude 100°W.

(3) Albany FSDO Liaison w/ responsibility for areas East of latitude 76° W in Canada.

(4) New York IFO with responsibility for areas east of latitude 100°W.

(5) Rochester FSDO liaison, with responsibility for areas West of latitude 76° W and East of latitude 100°W in Canada.

NOTE: All questions concerning AMO areas of responsibility should be directed to International Programs and Policy Division, AFS 50.

NOTE: The FAA liaison located at the designated IFUs should be able to coordinate the visit with TC and the AMO management. An invitation may be extended to the NAA (in this case it would be TC) to accompany the inspecting ASI or inspecting team during the visit.

9. PERFORMING THE TASK.

A. The ASI must determine whether the outsource maintenance provider has an adequate organization, equipment, and facilities. All maintenance personnel should be appropriately certificated (when necessary), trained, and authorized to perform the work. The inspecting ASI must keep in mind that the outsourcing provider's maintenance facility is an extension of the air operator's overall maintenance organization. Therefore, maintenance performed by the provider must be in accordance with the air operator's approved maintenance and inspection program (Ref. § 145.205).

NOTE: Maintenance managers, inspection, and return to service personnel are not required to be certificated under part 145 outside the United States.

B. Prior to visiting the OMP facility, the inspecting ASI should review PTRS data and any other information available. The SPAS program is an outstanding source for gathering supportive data.

NOTE: The systems safety concepts and procedures of ATOS can be applied to parts 129, 125, and 135. We encourage ASIs to use the ATOS Safety Attribute Inspection (SAI) and Element Performance Inspection (EPI) tools 1.3.7 as a surveillance plan and inspection guide. Copies of this SAI as well as all other SAIs or EPIs may be attained at the following Web site: http://www.faa.gov/safety/programs_initiatives /oversight/atos/, click on Data Collection Tools (DCT).

C. If the SAI is to be used by the inspecting ASI, the inspection information should be recorded under PTRS activity code 3617 or 5617. If the EPI is to be used, inspection information should be recorded under PTRS activity code 3624 or 5624. Information that supports a conclusion (positive or negative) should be entered in the PTRS "comments" section.

D. Comments associated with a "NO" answer to the DCT question should include the question number at the beginning of the comment narrative. This is a good time to validate the essential elements of the air operator's system. Collection and recording of objective evidence will assist in determining whether the system is properly designed and well managed.

NOTE: An alternate surveillance plan has been added to this chapter; its intended use is a transition DCT. The inspection information contained in the comment section is based on the information in this order. It is provided as a sample surveillance plan only; It should not be considered mandatory. (See Figure 133-2, Sample of a Basic Surveillance Plan.)

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SECTION 2. PROCEDURES

1. PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites:

- Knowledge of the regulatory requirements of 14 parts 43, 119, 125, 129, 135, and 145, as applicable
- Successful completion of the Airworthiness Inspector Indoctrination course(s) or equivalent

B. Coordination. None.

3. REFERENCES, FORMS, AND JOB AIDS.

A. References (current edition):

- 14 CFR Parts 43, 119, 125, 135, and 145
- Title 49 of the Code of Federal Regulations (49 CFR) part 180
- Air operator's maintenance manual and manual system
- Applicable advisory circulars (AC)
- ATOS elements SAI and EPI outsource maintenance provider 1.3.7
- The air operator's outsource maintenance program
- AC 120-16, Air Carrier Maintenance Program

B. Forms. None.

C. Job Task Analysis:

- JTA: 2.3.25

5. PROCEDURES. If the contractor is a certificated repair station, the inspecting ASI should determine the qualifications. Ensure that the outsource maintenance facility is properly certificated and rated for the work being performed. If the repair station is authorized to work at a place other than the repair station fixed location, it is recommended that operation specifications (OpSpecs) D100 be reviewed. This OpSpec lists the authorized work to be accomplished away from the fixed base and the manual location in which the procedures are listed.

A. Inspect the Outsource Maintenance Provider's Organization. Ensure that the organization is adequate to support the air operator's Continuous Airworthiness Maintenance Program (CAMP).

B. Inspect the Technical Library. Ensure that the maintenance facility's library is available for use by the facility personnel and includes the following:

- Repair Station Manual (RSM) (if applicable)
- Quality Control Manual (QCM) (if applicable)
- The air operator's general maintenance manual or applicable portions and any other required portions of the CAMP necessary to properly maintain the aircraft
- Aircraft, engine, propeller, appliance, and emergency equipment manual(s)
- Manufacturer's maintenance and component repair manual(s)
- Task cards, engineering orders, etc.

C. Review the Work Process. If there is an aircraft, engine, or appliance undergoing maintenance in the facility, this is a good time to observe/review the entire process in work. A good starting place is the planning department (it is recommended that the operator's manual be verified for completeness as you follow the process). The air operator's work package usually comes to this section first. Review the inspection package provided by the operator. The first page is usually called a work scope. It will list all of the Airworthiness Directives (AD), and nonroutine maintenance to be accomplished; list all of the phase; or check work cards to be accomplished at the maintenance visit; and it will list any components that have schedule removal requirements.

(1) Be aware!! Every air operator's system is different; the information herein is provided as a tool and is not to be used verbatim. The inspecting ASI must always refer to the air operator's manual procedures and use them as the guide to be followed.

(2) The maintenance provider must provide documentation that reflects the air operator's evaluation of its own programs and/or standard operating procedures (SOP) that the carrier has reviewed and accepted or rejected. If the carrier rejected the maintenance provider's program or SOPs, then the provider must follow the carrier's CAMP or another method accepted by the carrier. This process can be totally within the carrier's CAMP or be in the contract or a letter of agreement. In any event, the maintenance provider must have documentation that reflects this evaluation process. This process is how a maintenance provider becomes an extension of the air operator's own maintenance program.

(3) By sampling the records, ensure that the work is accomplished and documented in accordance with the air operator's manual.

(4) If applicable: ensure the required inspections items (RII) are accomplished in accordance with the operator's RII procedures.

(5) Ensure the airworthiness release is being signed in accordance with the air operator's manuals.

D. Personnel Training Records. Review the maintenance provider's records to ensure that personnel are trained to perform the work for which they have been contracted. Inspect the Quality System ((QC) and (QA)). Ensure that the facility personnel have been trained to the operators program and procedures. Ensure the following:

NOTE: The asterisked (*) items come under the purview of the part 145 repair station principal inspector (PI). It is most important that the inspecting ASI coordinate all findings with the repair station PI.

(1) *Responsibilities for maintenance and (required) inspection functions are separated.

(2) *Staffing reflects the complexity of the operation.

(3) Personnel are appropriately certificated, qualified, and trained to perform inspections.

(4) Personnel performing RII functions are properly trained and authorized by the operator.

(5) Lists of authorized inspectors and RII personnel are maintained, including the type of equipment and limitations authorized.

(6) All inspection personnel's training records are maintained and kept current.

(7) The operator's system for controlling accountability and documentation of all work being accomplished is specified in the air operator's maintenance manual.

(8) The operator complies with the suspected unapproved part program.

(9) Incoming parts and supplies are inspected and tagged IAW the air operator's maintenance manual.

(10) Receiving inspection personnel are properly trained and authorized by the operator IAW the air operator's manual.

(11) *Ask to see the part warranty, or return listing; areas that have a high rate of return should be reviewed for shortfalls.

E. Inspect the Maintenance Department. Ensure the following (this applies to all types of facilities):

(1) Personnel are trained for the complexity of the work performed in accordance with the air operator's manual procedure.

(2) *The facilities are adequate for the type of work performed. Space, lighting, and ventilation reflect the requirements of the work being performed. (This does not apply to certificated repair station with line station rating only.)

(3) *Equipment is available to support the work being performed. Special tools and test equipment are calibrated within specified time intervals.

(4) Shift turnover procedures are in place and being used.

(5) *Flammable and hazardous materials are properly segregated and stored.

(6) *Serviceable and unserviceable parts are identified and segregated.

(7) *Shelf life limits are controlled.

(8) Request a copy of the audit form if the air operator's internal audit system incorporates an "in-process audit." Ask the operator whether you can use the form to observe that it accomplishes its intended task.

(9) Part scrapping procedure IAW the air operator's procedures.

(11) Discuss the Service Difficulty Report (SDR)/malfunction or defects program requirement. Section 145.221 has changed the reporting requirements.

(12) Does this Maintenance Provider Sub-Contract to other Repair Stations (Maintenance Providers). Because the air operator ultimately is responsible for all work performed on its aircraft, airframe, engines, components, and parts thereof (including all downstream contracting), the maintenance provider must have procedures in place to provide this information to the air operator of all contracted work.

F. Analyze Findings. Upon completion of the inspection, record all deficiencies; determine the appropriate corrective action(s).

G. Debrief the OMP's Management Team. Always attempt to schedule a debriefing with the management team prior to leaving the facility. At the meeting, you should advise the operator of the findings and leave a courtesy copy of the inspection with the facility's management. Ensure it is clear that this is a preliminary listing.

H. Determine Whether Any of the Findings Pertain to an Apparent Noncompliance Issue. Common courtesy dictates that the inspecting ASI contact the repair station's CHDO and PI. The inspecting ASI and the OSMF management should discuss the conditions and nature of the alleged discrepancy to ensure that all parties are aware of the condition.

I. Complete Appropriate Forms. When the inspecting ASI returns to his/her base of operations (home office or other place of work), the inspector must complete the appropriate forms and enter the inspection into the appropriate database.

J. Communicate Findings to CHDO and PIs. If the inspection was performed by the FSDO with geographic responsibility, it is incumbent upon that FSDO to coordinate all findings with the CHDO and the assigned PIs. Inspectors often find air operator discrepancies or noncompliance items; if applicable, the PI of the air operator should be contacted.

K. Complete PTRS.

7. TASK OUTCOMES.

A. Evaluation of a maintenance provider's operations or facility should be recorded under PTRS activity codes 3338 or 5378.

B. Figure 133-1, Description and Definitions for New PTRS Activity Numbers, provides the description and definitions for the new PTRS activity numbers.

(1) Parts 125, 129, and 135 operators do not have an OpSpec D091. PTRS activity codes 3624 (maintenance) and 5624 (avionics) were developed to track inspection observations at an outsource maintenance provider/facility that does not perform substantial maintenance for the operator.

NOTE: Canadian AMOs are not part 145 certificated repair stations.

(2) AMOs do not have PTRS designators. When entering the results of the inspection into the PTRS database, place the AMO name and operating number as it appears on the TC operating certificate.

(3) FAA Form 8000-36, Program Tracking and Reporting Subsystem (PTRS) Data Sheet, blocks titled "Non-Cert Activity Name/Company."

(4) ASIs will use the block titled "Affiliated Designator," to record the maintenance designator of the facility that is being inspected. If the facility does not have a maintenance designator code list the name of the maintenance provider in the block titled "Non-Cert Activity Name/Company" block.

NOTE: All other information is the same.

9. FUTURE ACTIVITIES. If deficiencies were noted during the surveillance, a followup inspection may be required.

FIGURE 133-1. DESCRIPTION AND DEFINITIONS FOR NEW PTRS ACTIVITY NUMBERS

APPLICABLE 14 CFR Parts	PTRS ACTIVITY NUMBER	SURVEILLANCE	AFFILIATED DESIGNATOR
119, 125, 129, 135	3624/5624 New	On-site inspection. Surveillance of any outsource maintenance provider/facility not covered under the substantial maintenance provider OpSpec D091). PTRS description: SURVL/INSP NON-SUBST/MX/PROVD	Required
119, 125, 135	3617/5617 New	Special PTRS activity codes for recording the accomplishment of a 3624/5624 using the SAI 1.3.7 by non-ATOS part 121 inspectors. PTRS description: SURVL/OPER/INSP OUTSOURCE ORG	Required

FIGURE 133-2.

OUTSOURCE MAINTENANCE PROVIDERS FACILITY SURVEILLANCE (3624/5624) EVALUATION (3338/5378)
1.0 AIR OPERATOR'S CONTRACTOR
1.1. Review the outsource maintenance provider's certificate and OpSpecs if it is a certificated repair station or operator.
1.2 Review the air operator's work scope and instructions to the contact maintenance provider (outsourcing).
2.0 TECHNICAL LIBRARY
2.1 Inspect the library. 1) Ensure that the OMP library is available for use by all facility personnel. Contents should include: a) The contract agency's Repair Station Manual, quality control manual; b) The air operator's maintenance manual; c) Current applicable ACs, ADs, and type data sheets; d) Aircraft, engine propeller, appliance, and emergency equipment manufacturer's manuals; e) Task cards, engineering orders, etc. 2) Are the contractors published procedures consistent throughout their manual system?
3.0 AIRCRAFT RECORDS
3.1 Inspect the records. Maintenance records (aircraft, power plant, propeller, component, appliances, etc.) Sample the used records to ensure that the work is accomplished and documented IAW the air operator's manual.
4.0 TRAINING RECORDS
4.1 Personnel training records (if applicable). 1) Review the contractor maintenance provider's records to ensure that personnel are trained for the work being performed IAW the air operator's program. 2) Are the outsource maintenance facility inspection personnel training records maintained and kept current?
5.0 INSPECTION DEPARTMENT
5.1 Inspect the quality control system. 1) Responsibilities for maintenance and inspection functions are separated. 2) Staffing reflects the complexity of the operation. 3) Personnel are appropriately certificated, qualified, and trained to perform inspections under the operators program.
5.2 Personnel performing RIIs. (If applicable) 1) Is there a list of authorized inspection and required item personnel maintained and up-to-date, including the type of equipment and limitations authorized? 2) Is the number of authorized RII inspectors at a level that would support the air operator's contract requirements?
6.0 OUTSOURCE MAINTENANCE FACILITIES SYSTEM
6.1 Procedures for controlling accountability and documentation. 1) Is the contracted work being accomplished as specified in the air operator's procedures? 2) Are procedures in place that direct flow and control of all maintenance and inspection records?
6.2 Are incoming part and supplies inspected and tagged IAW the air operator's maintenance manual?
6.3 Are needs based on the complexity of the operation? 1) Are personnel trained for the complexity of work performed?
7.0 HANGAR FACILITIES
7.1 Are the facilities adequate for the work performed? 1) Do space, lighting, and ventilation reflect the requirements of the work being performed? 2) Are safety procedures established and adhered to? 3) Procedures – Direct the flow and control of all maintenance and inspection records.
7.2 Part and storage areas. 1) Available for the air operator's equipment? 2) Adequate spare part available to support complexity of operation?
7.3 Are receiving inspections accomplished IAW the air operator's manuals/procedures?
7.4 Components and hardware. Are they properly identified, protected, and classified as to serviceability?

7.5 Shift turnover. Are procedures in place and being utilized?
7.6 Special tools and test equipment. 1) Calibrated within the specified time intervals and in accordance with the air operator's manual? 2) Are all required items serviceable and within calibration criteria? 3) Is traceability back to one of the National Institute of Standards and Technology? a) Does the item's manufacturer establish standards? b) If foreign manufactured, are they to the standards of the country where they were manufactured? Does the Administrator approve the standards? c) Are there appropriate types and quantities available? 4) Is proper storage and protection utilized?
7.7 Flammable and hazardous materials are properly segregated and stored.
7.8 Are serviceable and unserviceable part and hardware identified and segregated?
7.9 Ground support equipment (GSE). 1) Ensure the GSE is maintained (IAW) the manufactures component and maintenance manuals. 2) Review maintenance inspection records. 3) Review filter change schedules and records. 4) Verify condition of equipment. 5) Review the air operator's manual to see if there are special requirements and or instructions for GSE.
8.0 SHELF LIFE
8.1 Shelf life limits: Are they controlled IAW the air operator's manual or manufacturer's recommendations?
9.0 ENGINEERING DEPARTMENT
9.1 Inspect the engineering department: (If applicable). 1) Is the staffing adequate for complexity of assigned duties? 2) Are the personnel qualified?
9.2 Is all required technical data current and available? Ref. AC120-77, Maintenance and Alteration Data
9.3 Are engineering orders accomplished and recorded IAW the air operator's and outsource maintenance facility manuals?
9.4 Major repairs and alterations. 1) Accomplished IAW Federal Aviation Administration (FAA)-approved data? See (vol. 2 chapters 1 of Order 8300.10) 2) Are major repair reports retained and available?
10.0 MAINTENANCE PRODUCTION/PLANNING CONTROL INSPECTION
10.1 Is there evidence that the planning system is effective? 1) Review inspection/overhaul scheduling. 2) Facility scheduling. 3) Part forecast. 4) Personnel requirements, and communication with other departments.
10.2 SDR reporting requirements are in coordination with the air operator's procedures, and the requirements of § 145.221.
11.0 REPAIR STATION WITH LINE RATING (OPSPECS D107)